

03-14-01

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UTILITY
PATENT APPLICATION
TRANSMITTAL

Attorney Docket No. 437312000420

First Inventor

David F. BROADBENT et al.

Title

AN INTERFACE SYSTEM FOR A MORTGAGE LOAN ORIGINATOR COMPLIANCE ENGINE

Express Mail Label No.

EL817617788US

For new nonprovisional applications under 37 CFR 1.53(b)

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail Label No.: EL817617788US

Date of Deposit: March 13, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Chase Trombella

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 202311. ☒ Fee Transmittal Form (e.g. PTO/SB/17) [Total Pages 1]

(Submit an original, and a duplicate for fee processing)

2. ☒ Applicant claims small entity status.

See 37 CFR 1.27.

3. ☒ Specification [Total Pages 91]

(performed arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113) [Total Sheets 44]5. ☒ Oath or Declaration (Unsigned) [Total Pages 2]a ☐ Newly executed (original or copy)b ☐ Copy from a prior application (37 CFR 1.63(d))(for continuation/divisional with Box 17 completed)
DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.30(b)6. ☒ Application Data Sheet. See 37 CFR 1.76 [Total Pages 3]7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)8. ☐ Nucleotide and/or Amino Acid Sequence Submission

(if applicable, all necessary)

- a ☐ Computer Readable Form (CRF)
- b Specification Sequence Listing on:
 - i ☐ CD-ROM or CD-R (2 copies), or
 - ii ☐ paper
- c ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 9. ☐ Assignment Papers (cover sheet & document(s))
- 10. ☐ 37 CFR 3.73(b) Statement (where there is an assignee) ☐ Power of Attorney
- 11. ☐ English Translation document (if applicable)
- 12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- 13. ☐ Preliminary Amendment
- 14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically detested)
- 15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- 16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- 17. ☒ Other Title Page (1 page), Fee Determination Record (1 page) and a check in the amount of \$435.00

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No. 09/045,217

Prior application information Examiner To Be Assigned Group / Art Unit 2771

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Labelor ☐ Correspondence address below

20872

PATENT TRADEMARK OFFICE

(Insert Customer No. or Attach bar code label here)

Name	Erwin J. Basinski		
Address	425 Market Street		
City	San Francisco	State	California
Country	San Francisco	Telephone	(415) 268-7000
		Zip Code	94105-2482
		Fax	(415) 268-7522
Name (Print/Type)	Erwin J. Basinski	Registration No. (Attorney/Agent)	34,773
Signature		Date	March 13, 2001

FEE TRANSMITTAL FOR FY 2001

Patent fees are subject to annual revision.

Complete if Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	David F. BROADBENT et al.
Examiner Name	To Be Assigned
Group Art Unit	To Be Assigned
Attorney Docket No.	4373120/0420

TOTAL AMOUNT OF PAYMENT (\$1435.00)

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number 03-1952

Deposit Account Name Morrison & Foerster LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☐ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355
108	320	208	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Resubmission filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$355.00)

2. EXTRA CLAIM FEE

Total Claims	18	-20	=	Extra Claims	0	Fee from below	Fee Paid
Independent Claims	5	-3	=	2	x	40.00	= \$80.00
Multiple Dependent							= \$ 0.00

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claims, if not paid
106	80	206	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$80.00)

** or number previously paid, if greater; For reissues, see above.

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,880	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (w/ reissue)	
143	440	243	220	Design issue fee	
144	800	244	400	Plant issue fee	
122	130	122	130	Petitions of the Commissioner	
123	50	123	50	Petitions related to provisional applications	
129	180	129	180	Submission of Information Disclosure Sheet	
581	40	581	40	Recording each patent assignment per properties (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$0.00)

SUBMITTED BY

Name (Print/Type)	Erwin J. Basinski	Registration No. (Attorney/Agent)	34,773	Telephone	(415) 268-7000
Signature	<i>Erwin J. Basinski</i>	Date	March 13, 2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

PATENT APPLICATION FEE DETERMINATION RECORD

Application or Docket Number

437312000420

CLAIMS AS FILED - PART I

(Column 1)

(Column 2)

SMALL ENTITY

OR

OTHER THAN
SMALL ENTITY

FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE		RATE	FEE
BASIC FEE (37 CFR 1.16(a))				\$355.00	OR		\$
TOTAL CLAIMS (37 CFR 1.16(c))	18 minus 20 =	0	\$9.00	\$	OR	\$18.00	\$
INDEPENDENT CLAIMS (37 CFR 1.16(b))	5 minus 3 =	2	\$40.00	\$80.00	OR	\$80.00	\$
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))			\$135.00	\$	OR	\$270.00	\$
			TOTAL	\$435.00	OR	TOTAL	\$

*If the different in column 1 is less than zero, enter "0" in column 2

CLAIMS AS AMENDED - PART II

(Column 1)

(Column 2)

(Column 3)

SMALL ENTITY

OR

OTHER THAN
SMALL ENTITY

AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE		RATE	ADDITIONAL FEE
Total (37 CFR 1.16(e))	Minus		—*	\$9.00	\$*	OR	\$18.00	\$*
Independent (37 CFR 1.16(b))	Minus		—*	\$40.00	\$*	OR	\$80.00	\$*
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				\$135.00	\$*	OR	\$270.00	\$*
				TOTAL ADDITIONAL FEE	\$*	OR	TOTAL ADDITIONAL FEE	\$*

(Column 1)

(Column 2)

(Column 3)

AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE		RATE	ADDITIONAL FEE
Total (37 CFR 1.16(e))	Minus		—*	\$9.00	\$*	OR	\$18.00	\$*
Independent (37 CFR 1.16(b))	Minus		—*	\$40.00	\$*	OR	\$80.00	\$*
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				\$135.00	\$*	OR	\$270.00	\$*
				TOTAL ADDITIONAL FEE	\$*	OR	TOTAL ADDITIONAL FEE	\$*

(Column 1)

(Column 2)

(Column 3)

AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE		RATE	ADDITIONAL FEE
Total (37 CFR 1.16(e))	Minus		—*	\$9.00	\$*	OR	\$18.00	\$*
Independent (37 CFR 1.16(b))	Minus		—*	\$40.00	\$*	OR	\$80.00	\$*
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				\$135.00	\$*	OR	\$270.00	\$*
				TOTAL ADDITIONAL FEE	\$*	OR	TOTAL ADDITIONAL FEE	\$*

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20"

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3"

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1
Burden Hours Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231